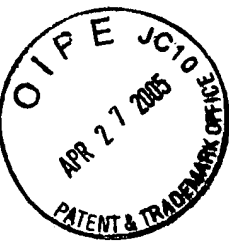


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AMENDMENT TRANSMITTAL LETTER			Docket No. 07010/002002	
Application No. 10/723,187-Conf. #9016		Filing Date November 26, 2003		Examiner D. F. Charles
				Art Unit 3628

Applicant(s): Jim Fraivilling et al.

Invention: FUNDS HAVING INVESTMENT RESULTS RELATED TO OCCURRENCE OF EXTERNAL EVENTS TO INVESTOR-SELECTED INVESTMENT OPTIONS

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is an amendment in the above-identified application.
The fee has been calculated and is transmitted as shown below.

CLAIMS AS AMENDED					
	Claims Remaining After Amendment	Highest Number Previously Paid	Number Extra Claims Present	Rate	
Total Claims	29	- 29 =		x	
Independent Claims	3	- 3 =		x	
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					
Other fee (please specify): Extension for response within first month					60.00
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT:					60.00

☐ Large Entity
 ☒ Small Entity

☐ No additional fee is required for this amendment.

☐ Please charge Deposit Account No. _____ in the amount of \$ _____.
 A duplicate copy of this sheet is enclosed.

☐ A check in the amount of \$ _____ to cover the filing fee is enclosed.

☒ Payment by credit card. Form PTO-2038 is attached.

☒ The Director is hereby authorized to charge and credit Deposit Account No. 50-0591
 as described below. A duplicate copy of this sheet is enclosed.

☒ Credit any overpayment.

☒ Charge any additional filing or application processing fees required under 37 CFR 1.16 and 1.17.

Jonathan P. Osha *T. Chyan Liang*
 Attorney Reg. No.: 33,986 # 48,885

OSHA · LIANG LLP
 1221 McKinney St., Suite 2800
 Houston, Texas 77010
 (713) 228-8600

Dated: April 27, 2005

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 644974951 US, in an envelope addressed to: MS Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: April 27, 2005 Signature: *Lisa H. Smith* (Lisa H. Smith)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant :	J. FRAIVILLIG et al.	Art Unit :	3628
Serial No.:	10/723,187	Examiner :	CHARLES, D.F.
Filed :	Nov. 26, 2003	Confirmation:	9016
Title :	FUNDS HAVING INVESTMENT RESULTS RELATED TO OCCURRENCE OF EXTERNAL EVENTS TO INVESTOR-SELECTED INVESTMENT OPTIONS		

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REPLY UNDER 37 CFR § 1.111

In response to the Office Action dated December 30, 2004, please reconsider the application in view of the included remarks.